

6.2 Request For Corporate Exercise ROD

6.2.1 The following types of corporate exercises require a request for Corporate Exercise ROD to be made:-

a. Dividend Payment

Note: *Bursa Depository maintains separate codes for Cash Dividend and Share Dividend.*

Issuer/Share Registrar requesting for Cash Dividend ROD will receive a bank account information file in addition to the ROD. The bank account information file consists of information for shareholders who have registered for their bank account details to receive their cash dividend via eDividend (electronically credit into their bank account). In addition to the ROD information, the bank account information file will have the shareholder's bank account details, email address (if provided) and mobile phone number (if provided). Issuers are to provide electronic notification either via email or SMS or both upon dividend payment is made on payment date, to shareholders who have provided their email address or mobile phone number.

Within 5 working days from the payment date, share registrar to provide to Bursa Depository via file upload through eRapid, the details of shareholders whose bank account number has been rejected by the bank for dividend payment and the reasons for the rejection. Upon processing of this file, Bursa Depository will send notices to the affected shareholder to request them to rectify their records with their ADA.

b. Interest Payment

Note: *Issuer/Share Registrar requesting for Interest Payment ROD will receive a bank account information file in addition to the ROD. The bank account information file consists of information for unit holders who have registered for their bank account details to receive their interest payment via eDividend. In addition to the ROD information, the bank account information file will have the unit holder's bank account details, email address (if provided) and mobile phone number*

(if provided). Issuers are to provide electronic notification either via email or SMS or both upon interest is made on payment date, to unit holders who have provided their email address or mobile phone number.

Within 5 working days from the payment date, share registrar to provide to Bursa Depository via file upload through eRapid, the details of unit holders whose bank account number has been rejected by the bank for interest payment and the reasons for the rejection. Upon processing of this file, Bursa Depository will send notices to the affected unit holder to request them to rectify their records with their ADA.

c. Rights Issue

Note: *If the crediting of Rights entitlement is under the SPEEDS initiative. Please refer to Section 6.9 for SPEEDS Corporate Exercise Processing.*

d. Bonus Issue

Note: *If the bonus issue is under the SPEEDS initiative. Please refer to Section 6.9 for SPEEDS Corporate Exercise Processing.*

e. Capital Restructure

Note: *If the shares from Capital Restructure is under the SPEEDS initiative. Please refer to Section 6.9 for SPEEDS Corporate Exercise Processing.*

Issuer/share registrar paying capital repayments, may request for Cash Repayment ROD to make payments directly into shareholders bank accounts that are registered with Bursa Depository. Issuer/ Share Registrar will comply with the similar requirements stated for Cash Dividend ROD and Interest Payment ROD stated 6.2.1(a) and 6.2.1(b).

f. Maturity Conversion / Redemption

g. Split Foreign

h. General Offer

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- i. Provisional Letter Of Allotment (PAL) / Provisional Letter Of Offer (PLO).

6.2.2 For item 6.2.1(f), the share registrars are to adhere to the following timelines:-

- a. Maturity/Expiry of Non-Equity Securities (NES) i.e. Warrants, Loan Stock or Bonds

The Lodgement Date or ROD date shall be four (4) clear market days before the maturity/expiry date of the NES.

- b. Maturity/Expiry of Equity Link Structures (ELS) and all cash-settled structured warrants

The Lodgement Date or ROD date shall be on the same date of the maturity/expiry date of the ELS or cash settled structured warrants.

- c. Maturity/Expiry of all physical settled structured warrants

The Lodgement Date or ROD date shall be four (4) clear market days before the maturity/expiry of the physical settled structured warrants.

6.2.3 To request for Corporate Exercise ROD, key-in the following particulars into Corporate Exercise ROD Request in the eRapid:-

- a. Stock code
b. Type of ROD
c. New stock code (if any)
d. Lodgement date

Note: Lodgement date is defined as the date where the corporate exercise ROD will reflect the shareholders and their holdings for a particular company as at that particular date. The lodgement date can also be defined as "Books Closing Date".

- e. Type of media, i.e. electronic or hardcopy
f. ROD format, i.e. carriage return or continuous or none

g. Allotment quantity (if any).

6.2.4 If a particular company has more than one (1) type of securities, in the form of Ordinary, Warrant, etc., the requestor must indicate the specific stock code of the securities requested.

Note: The requestor must ensure that sufficient Security Deposit is maintained with Bursa Depository prior to the requisition of the ROD. Insufficient security deposit will result in the rejection of ROD request.

6.2.5 Each request is to be used to request for one (1) type of security and one (1) type of media only. Please key-in a separate request if more than one (1) type of media is requested.

6.2.6 Corporate Exercise ROD can be requested from Monday to Friday, 8.30 a.m. to 7.00 p.m., or any other time prescribed by Bursa Depository.

6.2.7 Any ROD request which falls during the prescribed period and nine (9) market days after the prescribed period, must be accompanied by an undertaking letter from the requestor. The undertaking letter must indicate that the requestor is willing to accept unreconciled ROD and indemnify Bursa Depository from any actions arising from the unreconciled ROD.

6.2.8 In the case of Corporate Exercise ROD, the requestor must key-in the ROD request at least seven (7) market days before lodgement date.

6.2.9 The following types of Corporate Exercise ROD will require Bursa Depository to approve the request:-

- a. Capital Restructure
 - b. Maturity Conversion / Redemption
 - c. Split Foreign
 - d. Expiry of PAL/PLO.
 - e. Cash Repayment
 - f. Cash Dividend / Interest Payment
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Note: For (a) to (e), the approval from Bursa Depository is required as the corporate exercise will result in the suspension of the depositors' balances for the particular Issuer.

For Cash Dividend ROD, Interest Payment ROD and Cash Repayment ROD request will result in generation of an additional bank account details file which is only needed for purpose of facilitating cash dividend distribution exercise.

Issuer intending to use the eDividend for their Cash Payment or Redemption exercise may request for the ROD and bank account details file from Bursa Depository. Issuer must submit a letter confirming that depositor's consent has been obtained to enable Bursa Depository to disclose their bank account details for purposes of making electronic refunds to shareholders. Supporting document(s) on the consent must be forwarded together with the letter.

6.2.10 Bursa Depository to approve the Corporate Exercise ROD request at least four (4) market days before the lodgement date.

Note: Once Bursa Depository approves the Corporate Exercise ROD request, the request will then be transferred from eRapid to the CDS.

6.2.11 The ROD request will capture its status as "Processing" at eRapid once the request has been transferred to CDS for processing.